

4.1 AFPA SECORP Internal Audit Policy

Define: An operation that has ten or fewer employees working at any point in time is classified as a “Small Employer.” To calculate the number of employees, include the owner(s) and any persons covered by the employer’s WCB account(s).

To accommodate the needs of companies who meet the definition of a “Small Employer” and who are pursuing a Certificate of Recognition, Partnerships has devised a self-administered audit process unique to the needs of smaller operations.

The Small Employer Certificate of Recognition Program (SECORP) is an audit process that involves:

- Successful completion of the *Leadership in Health and Safety* training (achieving a minimum of 80% on the final exam), and participation in the 2-day *Auditor Training* session. The person completing the training must be a key member of the operation’s personnel. **A refresher of the LH&S component of the training is required every 3 years.**

If the audit is completed using an *External Consultant Auditor, the *Auditor Training* session does not have to be completed.

- After course completion, and when the company’s health and safety program is ready to be evaluated, participants may conduct an internal audit of their company’s Health and Safety Program. This must be completed within 6 months of the LH&S training session. This self-administered audit is completed for the AFPA using a Partnerships SECORP Audit Protocol, and if successful can be used to obtain a Small Employer Certificate of Recognition (SECOR).
- If the audit is done internally, the report must be validated by a Commissioner of Oaths. This is not necessary if the audit is completed by an *External Consultant Auditor.
- The audit report and all supporting documentation must be submitted to the AFPA for review within 45 days of the audit date. In addition, an action plan must be developed and submitted to the AFPA for each protocol question that is answered “No.” Note that *External Consultant Audits do not require the submission of supporting documentation, but the external auditor will be required to write a formal report for the employer.
- The AFPA may conduct phone interviews to validate employee response.

**Note that External Consultant Auditors who have had any input on a Small Employer’s health and safety systems, can not complete an audit on the employer, unless they are deemed an “employee” and covered under the employer’s WCB Account.*

- The AFPA will provide the small employer with written feedback on both the audit report and the health and safety processes it represents, if the audit is performed internally.
- If the audit results can be validated, and the audit score is 80% or better, the AFPA will forward a Certificate of Recognition Request to Alberta Human Resources & Employment.

Once issued, the SECOR is good for 3 years, but to maintain SECOR status, employers must submit an audit and other necessary documentation to the AFPA annually.